

Survey Research Operations

Supervisor Forum

May 9, 2013

1 – 3 pm

2013 Performance Appraisal Process

2013 Performance Appraisal Process

Supervisor Next Steps

What should Supervisors be doing now?

- Review the key job responsibilities for your direct reports
- Add additional key job responsibilities if needed (requires Unit Director review).
- Create individual forms
- Meet with your direct reports
- Attend help sessions as needed



2013 Performance Appraisal Process

Employee Next Steps

What should Employees be doing?

- Review self-appraisal form
 - Key job responsibilities
 - Behavioral competencies
- Complete form
 - Enter information in Section A
 - Rate their performance in key job responsibilities and behavioral competencies
 - Enter goals



2013 Performance Appraisal Process Timeline

- 4/29 All SRO message sent from SRO Admin announcing the start of Performance Appraisal process for 2013.
- 5/6 - 5/24 Self-appraisal due to supervisors
- 5/13 - 6/28 Employee and supervisor meet to review self-appraisal; discuss performance highlights. (This may vary a bit by unit)
- 6/13- 6/28 Performance appraisals with a minimum of three professional goals written by supervisor. (This timeline may vary a bit by unit.)
- 6/25- 7/27 Meetings held between supervisor and employee to review and sign performance appraisal.
- 7/30 - 7/31 Signed original and one copy of performance review documents (Performance Appraisal and Self-Appraisal) to Nancy Bylica for SRO personnel files.
- 7/30 - 7/31 SRO Director signs final copy for personnel records.



2013 Performance Appraisal Process

Questions to the Forum

Q: For jobs with steps and evaluation forms with key job responsibilities that do not differ across steps, I'd like to hear more about how the steps should be taken into account during this year's evaluation process.

A: The job grids address **competencies**. While the key job responsibilities may be the same, the level and complexity expected at each step will differ. You should rate based on the expectations for the employee's current step and responsibilities.

2013 Performance Appraisal Ratings Scale

| | | |
|----------|----------------|---|
| N | Not Met | Employee has consistently not met job expectations |
|----------|----------------|---|



| | | |
|----------|--------------------|--|
| A | Approaching | Employee shows inconsistent demonstration of key responsibilities or behavioral competencies. |
|----------|--------------------|--|



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| | | |
|----------|--------------|--|
| S | Solid | Employee is “on target” – capable, effective and provides value for the organization. |
|----------|--------------|--|



| | | |
|----------|------------------|--|
| E | Exemplary | Employee far exceeds expectations |
|----------|------------------|--|



2013 Behavioral Competencies

SRO is integrating a set of competencies around how we work together effectively. This is an important element of how we do our jobs, work together and meet our clients' expectations.

Engaged and invested

Displays responsibility, thoughtfulness, responsiveness, and a positive focus.

Organizational Stewardship

Demonstrates awareness of and support for the unit's capabilities and mission.

People Effectiveness

Builds positive interpersonal relationships; demonstrates effective skills when working with others.

Collaboration

Evokes cohesion in and across work groups, building and maintaining rapport and cooperation with co-workers to meet project and unit deliverables.



2013 Performance Appraisal Form

| A. Employee Information | | | |
|-------------------------|--------------------------------|-------------------------------|---|
| Evaluation Period | 05/01/2012 | to | 04/30/2013 |
| Employee Name | John Smith | Employee ID Number | 12345678 |
| Title | Survey Specialist Intermediate | Unit | PDMG |
| Supervisor | John Test | In position less than 1 year? | <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No |

Complete basic employee information.

| Overall Employee Rating | |
|---|--|
| Employee met or exceeded expectations for his/her job during the past year: | |
| <input type="checkbox"/> Yes <input type="checkbox"/> No | |
| If you checked "No," please attach a written explanation. | |
| | |
| Performance Communication Checklist | |
| To be completed by supervisor. Please check all that apply: | |
| <input type="checkbox"/> Performance conversation has occurred. | |
| <input type="checkbox"/> Employee self-appraisal is attached. | |
| Acknowledgement | |
| Employee's Signature*: _____ Date: _____ | |
| Manager's Signature: _____ Date: _____ | |
| Higher Authority Signature (if required) _____ Date: _____ | |

These items will be completed near the end of the process – more on this later.

* The signature of the employee serves as acknowledgement of the above process. It does not necessarily mean that there is agreement with the appraisal.

2013 Performance Appraisal Form

| B. SRO Job Specific Performance | | | | |
|--|--|--|--------------------|----------------------------|
| Scale: N = Not Met A = Approaching S = Solid E = Exemplary NA = Not Applicable | | | | |
| | | | Self Evaluation | Supervisor's Evaluation |
| Click here for Performance Evaluation Rating Descriptions | | | | |
| List the employee's key job responsibilities and then select the applicable rating for each from the drop down menu. | | | | |
| 1 | | | | |
| 2 | | | | |
| 3 | | | | |
| 4 | | | | |
| 5 | | | | |
| Brief summary of Job Specific Performance (Includes supporting comments and areas requiring further development. Use corresponding number where applicable.) | | | | |
| <p><i>This area should include a brief narrative supporting the above ratings. Any rating of "Not Met" should include information regarding the performance shortfall(s) in addition to describing what performance improvement measures are planned. A rating of "Approaching" will require a description of what areas the employee would need to develop to progress to solid performance. A "Solid" rating does not require a summary, but you may wish to highlight any areas in which the employee is particularly strong or may need to develop. A rating of "Exemplary" means that the employee is exceptional and has far exceeded all performance expectations. Supporting information is required as to why you feel an employee earned an exemplary rating in a particular category. Any discrepancies or disconnects between the employee self-appraisal and the supervisor appraisal should be addressed here. Any discrepancies or disconnects between the employee self-appraisal and the supervisor appraisal should be addressed here.</i></p> | | | | |

| Staff Member Name | Evaluation Period | Title | Unit | Employee ID # |
|-------------------|--------------------------|-----------------------------------|------|---------------|
| John Smith | 05/01/2012 to 04/30/2013 | Survey Specialist Intermediate | PDMG | 12345678 |

Record employee's self-appraisal ratings from the self-appraisal form to this column.

This area will have 3 pre-populated job responsibilities (based on position description). In addition, each supervisor may also add up to 2 employee specific responsibilities (if applicable).

Select the appropriate rating from the drop down menu.

This area should include a brief narrative supporting the above ratings

Populates automatically from entry on first page

2013 Performance Appraisal Form

| C. SRO Behavioral Competencies | | |
|---|--------------------|----------------------------|
| Click here for more information about the SRO Behavioral Competencies | | |
| Scale: N = Not Met A = Approaching S = Solid E = Exemplary Select the applicable rating for each category from the drop down menu. | Self Evaluation | Supervisor's Evaluation |
| 6. Engaged and Involved | | |
| 7. Organizational Stewardship | | |
| 8. People Effectiveness | | |
| 9. Collaboration | | |
| For employees with administrative supervisory responsibilities, please also rate the following category. Select NA if this does not apply. | | |
| 10. Supervisory Effectiveness: Coaches and evaluates staff in a timely and effective manner; identifies organizational risk and brings this to the attention of leadership; encourages teamwork and group achievement; leads by example, supporting behavioral competencies; supports diversity of staff at all levels; effective steward of resources. | | |
| Summary of SRO Performance Behaviors (Includes supporting comments and areas requiring further development. Use corresponding number where applicable.) | | |
| <p>This area should include a brief narrative supporting the above ratings. Any rating of "Not Met" should include information regarding the performance shortfall(s) in addition to describing what performance improvement measures are planned. A rating of "Approaching" will require a description of what areas the employee would need to develop to progress to solid performance. A "Solid" rating does not require a summary, but you may wish to highlight any areas in which the employee is particularly strong or may need to develop. A rating of "Exemplary" means that the employee is exceptional and has far exceeded all performance expectations. Supporting information is required as to why you feel an employee earned an exemplary rating in a particular category. Any discrepancies or disconnects between the employee self-appraisal and the supervisor appraisal should be addressed here.</p> | | |

Transfer employee's self-appraisal ratings from self-appraisal form to this column.

This area contains the core behavioral competencies (pre-populated).

Rate each SRO behavioral competency by selecting a rating from the drop down menu.

From the drop-down menu, select a rating for **Supervisory Effectiveness** for each employee with administrative supervisory responsibilities. Select N/A if this does not apply.

This area should include a brief narrative supporting the above ratings.

| Staff Member Name | Evaluation Period | Title | Unit | Employee ID # |
|-------------------|--------------------------|-----------------------------------|------|---------------|
| John Smith | 05/01/2012 to 04/30/2013 | Survey Specialist Intermediate | PDMG | 12345678 |

2013 Performance Appraisal Form

D. Annual Plan and Goal Setting

List goals that were assigned for this plan year and indicate whether the goal was attained.

| | |
|--|--|
| | |
| | |
| | |
| | |

List employee's goals for the appraisal period and rate whether Complete, Ongoing, On Hold, Not Complete, or Other.

Brief summary of performance against goals.

| |
|--|
| |
|--|

Give a brief narrative regarding performance on goals.

Outline plans for the **upcoming** year focusing on building on past strengths and planning for future enhancements to the job role or outcomes. Please include specific key indicators of success that seek to clarify expected outcomes. The plan should be thorough and flexible to meet the needs of the unit/department which may change throughout the year. Ensure that goals are **SMART** (Specific, Measurable, Attainable, Relevant and Timely).

| Objectives, Goals, or Activities | Measurement Criteria/Key Indicator of Success |
|----------------------------------|---|
| | |
| | |
| | |

Set goals for upcoming year, ensuring that goals are SMART (Specific, Measurable, Attainable, Relevant and Timely).

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|-------------------|--------------------------|-----------------------------------|------|---------------|
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| Title | Survey Specialist Intermediate | Unit | PDMG |
| Supervisor | John Test | In position less than 1 year? | <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No |

| Overall Employee Rating |
|---|
| Employee met or exceeded expectations for his/her job during the past year: |
| <input type="checkbox"/> Yes <input type="checkbox"/> No |
| If you checked "No," please attach a written explanation. |

| Performance Communication Checklist |
|---|
| To be completed by supervisor. Please check all that apply: |
| <input type="checkbox"/> Performance conversation has occurred. |
| <input type="checkbox"/> Employee self-appraisal is attached. |

| Acknowledgement |
|--|
| Employee's Signature*: _____ Date: _____ |
| Manager's Signature: _____ Date: _____ |
| Higher Authority Signature (if required) _____ Date: _____ |

Now that the rest of the form is complete, time to revisit the first page...

All ratings are consolidated into a rating of **Yes** (met or exceeded expectations) or **No** (does not meet expectations).

- If an employee's performance ratings are primarily **Approaching, Solid, or Exemplary**, it is expected that the employee would receive a **Yes** for his or her overall rating.
- A consultation should occur with your manager and/or Human Resources prior to issuing an overall rating of No.

Complete the performance discussion with the employee, sign and date the form and have the employee sign and date the form.

* The signature of the employee serves as acknowledgement of the above process. It does not necessarily mean that there is agreement with the appraisal.

2013 Performance Appraisal Form

- Guidelines for writing text:
 - Be concise and clear
 - Don't write more than you need to
 - Be specific
 - Give examples where you can
 - Be direct
 - State exactly what you expect (or expected)

